

Carleton University Retention Schedule

Section 7

HUMAN RESOURCES

Records and data in this category document the management of academic and non-academic staff of the university, including pension management records, individual employee files, discipline and termination issues, and leave management. Records in this category are not exclusive to the university's Human Resources department and exist in some capacity in all work units.

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CORPORATE RECORDS & ARCHIVES

Retention Schedule Instructions

Rule No.	Rule Name	SECTION NAME	Implementation Date
Description Description of administrative or operational functions and their key records. Units should contact Corporate Records and Archives if there is concern that the retention rule does not include their records under the function.			
Office of Primary Responsibility Identifies the department, unit, or position that has ultimate responsibility for the creation, management, retention, and disposition of the records covered under the rule.			
Retention Summary Summary of the length of time you must retain records in this rule after it is no longer active.			
Final Disposition How to dispose of the records once the retention period is finished – Archival Review (AR), Destruction (D), or Transfer to Corporate Archives (P). The key at the bottom of this page is on every rule in CURS.			
Retention Rationale Explanation for why the retention and disposition is set as it is. Often due to operations but can also include reference to university policy, legislation, or industry requirements.			
Filing Notes/Location Additional instructions for retention or disposition or instructions on handling edge cases in the records covered by the rule.			
Secondary Copies Instructions for record holders who are not the Office of Primary Responsibility.			
Special Instructions <i>Digitization:</i> Any instructions related to the digitization of hard copy records. <i>See also:</i> Pointers to other rules that might be similar/more appropriate for your use.			

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records relating to the establishment of department or unit administrative policies, procedures, and standards specific to human resources and staff management. Records are associated with the development of decisions, directions, and precedents that act as a reference for future decision-making and as a basis from which the department or unit's operating procedures are determined. Records may include policy proposals, research papers, consultations, reports, final policy documents, operating procedures, and administrative practices.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 3 years after superseded.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

--

Secondary Copies

Transitory. Retain only as needed for reference or convenience.

Special Instructions

Digitization: --

See also: For *University Policies, Procedures, and Standards*, see **GOV-00**.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Records include reports as well as the supporting documentation and statistics created or used to produce reports to unit human resources. Does not include external reports and statistics used as reference.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 10 years from creation.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

Transitory. Reports and statistics retained as reference by other units may be destroyed once no longer needed.

Special Instructions

Digitization: --

See also: Retention of reports and statistics may vary based on function of the information. Contact Corporate Records and Archives for more information.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Records made, received, or used by units in support of their programs, functions, activities, and operations as related to unit human resources. Records may include correspondence and memoranda, organizational charts, delegation of authority, studies, forms, transaction records, work orders, manuals, briefings, and issue notes.

Office of Primary Responsibility

Designated unit

Retention Summary

Retain in unit for 7 years from completion of project.

Final Disposition

D

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Units may discuss and document an alternative retention length for project management records in consultation with Corporate Records and Archives. Contact Corporate Records and Archives for more information.

Secondary Copies

Transitory. Destroy when no longer needed for reference or convenience.

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Records documenting the proceedings and actions of standing or ad hoc committees specific to human resources, such as healthy workplace efforts and working groups on job functions and descriptions.

Does not include hiring committees. Contact Corporate Records and Archives for more information.

Office of Primary Responsibility

Designated units
Human Resources

Retention Summary

Retain in unit for minimum 3 years from creation.

Final Disposition

AR

Retention Rationale

Retention based on current operational use.

Filing Notes/Location

Corporate Records and Archives can establish a specific retention schedule for administrative committees and working groups after consulting with the unit responsible. Contact Corporate Records and Archives for more information.

Secondary Copies

Committee documentation held as reference by committee members or other units may be destroyed when no longer needed. Committee chairs are responsible for supporting and/or delegating records management of committee materials.

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records relating to the drafting and creation of job descriptions for university positions.

Office of Primary Responsibility

Human Resources
Office of the Provost and Vice-President (Academic)

Retention Summary

Retain in unit 3 years after superseded.

Final Disposition

Superseded version – D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

Transitory. Destroy when no longer needed for reference or convenience.

Special Instructions

Digitization: --

See also: Faculty and Librarians should refer to ***Appendix A: Retention and Disposal of Faculty Personnel Records.***

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-05 Annual Increases Process HUMAN RESOURCES 2017-06

Description

Consists of records relating to the annual increases process for employees.

Office of Primary Responsibility

Human Resources
Office of the Provost and Vice-President (Academic)

Retention Summary

Retain in unit as active for 7 years from creation.

Final Disposition

P

Retention Rationale

Retention based on current Individual Employee file.

Filing Notes/Location

Annual increase processes documentation is currently filed with the individual employee's record.

Secondary Copies

Special Instructions

Digitization: --

See also: Faculty and Librarians should refer to ***Appendix A: Retention and Disposal of Faculty Personnel Records.***

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-06 Position Activities HUMAN RESOURCES 2017-06

Description

Consists of records concerning position activity forms that are used in exchange with Finance to confirm the funding for a specific position.

Office of Primary Responsibility

Human Resources

Retention Summary

Retain in unit for 3 years from creation.

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records related to codes attached to a job with a brief content description that helps to determine the gender dominance position of males or females in the university work force.

Office of Primary Responsibility

Human Resources

Retention Summary

Retain as active record for 1 year.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-08 Salary Review HUMAN RESOURCES 2017-06

Description

Consists of records relating to the administration of salary and wage matters. Records may include rates of pay, deductions, regulations, schedules, and standards for payment of wages.

Office of Primary Responsibility

Human Resources

Retention Summary

Retain as active record for 1 calendar year.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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Special Instructions

Digitization: --

See also: Faculty and Librarians should refer to **Appendix A: Retention and Disposal of Faculty Personnel Records**.

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-09 Pension HUMAN RESOURCES 2017-06

Description

Consists of records relating to pension settlements and payments, concerning employees of the University. Records may include pensioner files, termination statements, refund statements and adjustment records.

Office of Primary Responsibility

Human Resources

Retention Summary

Retain as active for life of plan.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

Dispose of transitory records when operational use ceases, they become superseded, or obsolete.

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Consists of records relating to the administration of pension and benefits programs directly with individual employees of the university, specifically:

1. Employees paying into and collecting pension benefits.
2. Retired employees who opted to transfer pensions out of Carleton University's plan but who are still covered under extended health benefits.†

Records may include plan enrolment forms, beneficiary designation/spousal declaration forms, annual statements, retirement/termination statements, election options, payment/transfer/buyback information, pension calculation, non-transient correspondence documenting major decisions, and general information on plans.

Office of Primary Responsibility

Human Resources

Retention Summary

Retain in unit for length of plan membership + 50 years after completion of final pension payout (death of final beneficiary).

Final Disposition

D

Retention Rationale

Pension Benefits Act, R.S.O., 1990, c.8

Management and Retention of Pension Plan Records by the Administrator (A300-200) - Financial Services Commission of Ontario.

Filing Notes/Location

Summary of retiree's pension history is retained permanently, currently electronically in Seclon.

Secondary Copies

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Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-11	Pension Benefits – Terminated/Benefit Retiree Management	HUMAN RESOURCES	2017-06
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Description

Consists of records relating to the administration of pension and benefits programs directly with individual employees of the university, specifically:

1. Former employees of Carleton University who request transfer of their pension out of the Carleton University plan.
2. Pension records of former employees who have terminated plan membership and deferred pension benefits.†

Records include plan enrolment forms, beneficiary designation/spousal declaration forms, annual statements, retirement/termination statements, election options, payment/transfer/buyback information, pension calculation, non-transient correspondence documenting major decisions, general information on plans, and pension adjustment reversals.

Office of Primary Responsibility

Human Resources

Retention Summary

Retain in unit for length of plan membership + 50 years after completion from final pension pay out.

Final Disposition

D

Retention Rationale

Canada Pension Act, R.S.C., 1985, c.8
Pension Benefits Act, R.S.O., 1990, c. p. 8
Management and Retention of Pension Plan Records by the Administrator - A300-200 (Financial Services Commission of Ontario)
Guideline No. 9: Searching for Un-locatable Members of a Pension Plan / Canadian Association of Pension Supervisory Authorities (Published: February 2019, Modified: June 2019)

Filing Notes/Location

Summary of retiree’s pension history is retained permanently, currently electronically in Seclon.

Secondary Copies

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Special Instructions

Digitization: --
See also: --

AR = Corporate Records & Archives must review.
D = Secure Destruction/Deletion.
P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Records relating to the administration of Carleton University's pension plan as administered by the Pension Fund Management as well as those materials which are required filing records for legislated and accounting requirements. Includes pension plan materials as amendments, documentation of plan administration procedures, policies, and responsibilities of the administrator, employer and the Pension Committee, documents delegating the administration of the plan funds, documents related to the registration of the fund with applicable bodies, institutional copies of the information returns, filing forms, financial statements, and reports filed with the Financial Services Commission of Ontario (actuarial valuation reports, audited financial statements, statements of investment policies and procedures, requests for approval, election/declarations filed with FSCO, notices and certificates pertaining to registration, notices to members, and member booklets.

Office of Primary Responsibility

Office of Pension Fund Management

Retention Summary

Retain in unit as active for total of 10 years from creation.

Final Disposition

P

Retention Rationale

Canada Pension Act, R.S.C., 1985, c.8

Pension Benefits Act, R.S.O., 1990, c. p. 8

Management and Retention of Pension Plan Records by the Administrator - A300-200
(Financial Services Commission of Ontario)

Filing Notes/Location

Transfer to Corporate Records and Archives upon completion of retention period.

Secondary Copies

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Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

Description

Plan records that relate to the day-to-day operations of the pension plan and pension fund. Records relate to pension and actuarial files such as pension adjustments for annual calculation for T4 submissions and reporting to Revenue Canada, annual analysis of employees pension data for entitlements.

Office of Primary Responsibility

Office of Pension Fund Management

Retention Summary

Retain in unit as active for a total of 7 years from creation.

Final Disposition

P

Retention Rationale

Income Tax Act (Canada), R.S.C., 1985, c.1 (5th Supp.), s. 230
Canada Pension Plan Act, R.S.C., 1985, c.8
Pension Benefits Act, R.S.O., 1990, c. p 8
Management and Retention of Pension Plan Records by the Administrator - A300-200
(Financial Services Commission of Ontario)

Filing Notes/Location

Transfer to Corporate Records and Archives upon completion of retention period.

Secondary Copies

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Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

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HUM-14 Discipline & Termination HUMAN RESOURCES 2017-06

Description

Consists of records relating to the administration of disciplinary actions or termination of an employee, as well as case files regarding such actions.

Office of Primary Responsibility

Human Resources
Office of the Provost and Vice-President (Academic)

Retention Summary

Retain in unit for 3 years from closure of file.

Final Disposition

AR

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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Special Instructions

Digitization: --

See also: Faculty and Librarians should refer to **Appendix A: Retention and Disposal of Faculty Personnel Records** and all questions should be referred to the Office of the Provost and Vice-President (Academic).

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-15 Issues/Complaints, Grievances & Arbitration HUMAN RESOURCES 2017-06

Description

Consists of records relating to policies, methods, and procedures for handling grievances and complaints of employees, as well as individual case files, human rights complaints, and classification appeals. Records may include grievance files, arbitration files, complaints, and related correspondence.

Office of Primary Responsibility

Human Resources

Retention Summary

Retain in unit for 3 years from the calendar year of creation.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

Individual case files may be grouped by employee category. These records include those related to professional services, faculty/librarians, teaching assistants, and casual employees.

Secondary Copies

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Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-16 Labour Relations – Professional Services/Faculty HUMAN RESOURCES 2017-06

Description

Consists of records relating to the relationships between management and faculty/librarians including agreements, memorandum of agreement files, newsletters, and union leave requests/approvals.

Office of Primary Responsibility

Human Resources

Retention Summary

Retain as active until end of calendar year of creation.

Union leave records are maintained for 2 years and then securely destroyed.

Final Disposition

P

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-17	Staffing – Competitions & Recruitment	HUMAN RESOURCES	2017-06
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Description

Consists of records relating to competitions and recruitment for professional services staff, faculty and librarians. Records may include email correspondence, interview schedule and questions, accepted/rejected offers and interview panel notes.

Office of Primary Responsibility

Human Resources
Office of the Provost and Vice-President (Academic)

Retention Summary

Retain in unit as active for 1 year after completion of competition + 1 additional year (total 2 years).

Final Disposition

D

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

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Secondary Copies

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Special Instructions

Digitization: --

See also: Faculty and Librarians should refer to Appendix A: Retention and Disposal of Faculty Personnel Records and all questions should be referred to the Office of the Provost and Vice-President (Academic).

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-18 **Employees - Individual** **HUMAN RESOURCES** **2017-06**

Description

Consists of records relating to individuals in all employee categories. Records may include signed letters of offer, renewals, awards, organizational assignment information, personal information, leave requests and performance appraisals.

Office of Primary Responsibility

Human Resources
Office of the Provost and Vice-President (Academic)

Retention Summary

ON HOLD PENDING REVIEW. Contact Corporate Records and Archives for further instructions.

Final Disposition

ON HOLD.

Retention Rationale

Retention based on anticipated operational use.
Collective agreement between Carleton University and Carleton University Academic Staff Association.

Filing Notes/Location

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Secondary Copies

Contact Corporate Records and Archives for further instructions.

Special Instructions

Digitization: --

See also: Faculty and Librarians should refer to Appendix A: Retention and Disposal of Faculty Personnel Records and all questions should be referred to the Office of the Provost and Vice-President (Academic).

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-19 Leave Management HUMAN RESOURCES 2017-06

Description

Consists of records relating to attendance. Records may include attendance reports, seniority calculations, vacation, designated paid holidays and special types of leaves.

Office of Primary Responsibility

Human Resources

Retention Summary

ON HOLD PENDING REVIEW. Contact Corporate Records and Archives for further instructions.

Final Disposition

ON HOLD.

Retention Rationale

Retention based on anticipated operational use.

Filing Notes/Location

--

Secondary Copies

Contact Corporate Records and Archives for further instructions.

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.

HUM-20 Payroll HUMAN RESOURCES 2017-06

Description

Consists of records relating to payroll management and to payments made by the University. Records may include payroll registers, wage documents, benefit files and all other payments to employees at the University.

Office of Primary Responsibility

Human Resources

Retention Summary

ON HOLD PENDING REVIEW. Contact Corporate Records and Archives for further instructions.

Final Disposition

ON HOLD.

Retention Rationale

Income Tax Act, R.S.C., 1985, c. 1

Filing Notes/Location

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Secondary Copies

Contact Corporate Records and Archives for further instructions.

Special Instructions

Digitization: --

See also: --

AR = Corporate Records & Archives must review.

D = Secure Destruction/Deletion.

P = Permanent. Transfer to Corporate Archives.

Secondary Copies = Any copies of records that are in the custody of a department or unit that is **not** the Office of Primary Responsibility.